

01-10-00

A

PATENT

Docket No. IL-10443

01/07/00
Jc682 U.S. PTO

Assistant Commissioner for Patents
Washington, DC 20231

Jc580 U.S. PTO
09/479432
01/07/00

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):
Charles R. Musick, Terence Critchlow, Medhavan Ganesh, Thomas R. Slesak, Krzysztof Fidelis

For (title): **DATA FOUNDRY SOFTWARE**

1. Type of Application

- ☒ This new application is for an original patent.
- ☐ This new application is a:
 - ☐ Division
 - ☐ Continuation
 - ☐ Continuation-in-part (CIP)

2. Benefit of Prior U.S. Application(s) (35 USC 120)

- ☐ The new application being transmitted claims the benefit of prior U.S. application(s).

3. ☒ Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed below:

<u>60/115,449</u>	<u>January 8, 1999</u>
Application Serial No.	Filing Date

4. Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).

16 Pages of specification

10 Pages of claims

1 Pages of abstract

10 Sheets of drawings

☒ formal

☐ informal

5. Additional papers enclosed

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Form PTO-1449

09439432-010700

6. Declaration or oath

- ☐ Enclosed and executed by
- ☐ inventors
 - ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
- ☒ Not Enclosed

7. Assignment

- ☐ An assignment of the invention to The Regents of the University of California.
- ☐ is attached
 - ☒ will follow

8. Certified Copy

Certified copy(ies) of application(s)

(country)	(application no.)	(filed)
(country)	(application no.)	(filed)

from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

9. Fee Calculation

CLAIMS AS FILED					
Type of Claim	Number Filed	Included in Basic Fee	Number Extra	Rate	Total Fee
Total Claims	52	-20 =		x \$18 =	\$ 576.00
Independent Claims	5	-3 =		x \$78 =	\$ 156.00
				Multiple Claims =	\$
				Basic Filing Fee =	\$ 690.00
				Sub-Total =	\$ 1422.00
				Small Entity Filing Fee=	\$ 711.00

10. Small Entity Statement(s)

- ☒ Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 is attached.

Filing Fee Calculation (50% of regular filing fee) \$ 711.00

11. Fee Payment

- ☐ Not Enclosed
☒ Enclosed (See Account No. Below)

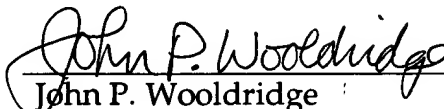
Total Basic Filing Fees To Be Paid \$ 711.00

12. Method of Payment of Fees

- ☐ Check in the Amount of \$ _____
☒ Charge Account No. 12-0695 in the amount of \$ 711.00
A duplicate of this transmittal is attached.

13. Instructions As To Overpayment/Underpayment

- ☒ credit/charge
Account No. 12-0695
☐ refund


John P. Wooldridge
ATTORNEY
Reg. No.: 38,725

P.O. Box 808, L-703
Livermore, CA 94551
Tel. No.: (925) 424-6897

Dated: 1-7-00

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Charles R. Musick et al

Attorney Docket No. : IL-10443

Serial No. :

Art Unit:

Filed :

Examiner:

For : Data Foundry Software

Assistant Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EL264587099US

Date of Deposit January 7, 2000

I hereby certify that the following *attached*

1. New Application Transmittal (in duplicate)
2. Verified Statement Claiming Small Entity Status
3. Application
(Specification 16 pages, Claims 10 pages, Abstract 1 page)
Ten (10) sheets of formal drawings;
4. Express Mail Certificate
5. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Box: Patent Application, Washington, D.C. 20231.

Nancy J. Stone

(Type or print name of person mailing paper)

(Signature of person mailing paper or fee)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Charles R. Musick et al. Docket No. : IL-10443
 Serial No. : Art Unit :
 Filed : Batch No. :
 For : Data Foundry Software Examiner :

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
 STATUS [37 CFR 1.9 (f) and 1.27(d)] - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

The Regents of the University of California
 1111 Franklin Street
 Oakland, CA 94607-5200

TYPE OF ORGANIZATION

 X University or Other Institution of Higher Education

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled Data Foundry Software

by inventor(s) Charles R. Musick Terence Critchlow, Madhavan Ganesh, Tom R. Slezak, Krzysztof Fidelis

described in

 X the specification filed herewith.
 application serial no. _____, filed _____.
 patent no. _____, issued _____.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention, except for a license to a Federal Agency pursuant to 35 USC 202(c) (4).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

 X no such person, concern, or organization

I acknowledge the duty to file, in this application or patent, notification of any charge in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true: and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

JANET G. TULK
Laboratory Counsel
Lawrence Livermore National Laboratory
7000 East Avenue, L-701
Livermore, CA 94550


JANET G. TULK

1/4/00
Date